

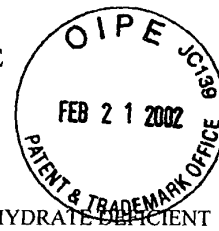
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF: William M. CANFIELD

SERIAL NO: 10/023,889

FILED: December 21, 2001

FOR: METHODS OF PRODUCING HIGH MANNOSE GLYCOPROTEINS IN COMPLEX CARBOHYDRATE DEFICIENT CELLS



INFORMATION DISCLOSURE/RELATED CASE STATEMENT UNDER 37 CFR 1.97

ASSISTANT COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231

SIR:

Applicant(s) wish to disclose the following information.

REFERENCES

- ☒ The applicant(s) wish to make of record the references listed on the attached form PTO-1449. Copies of the listed references are attached, where required, as are either statements of relevancy or any readily available English translations of pertinent portions of any non-English language references.
- ☐ A check is attached in the amount required under 37 CFR §1.17(p).

RELATED CASES

- ☐ Attached is a list of applicant's pending application(s) or issued patent(s) which may be related to the present application. A copy of the patent(s), together with a copy of the claims and drawings of the pending application(s) is attached along with PTO 1449.
- ☐ A check is attached in the amount required under 37 CFR §1.17(p).

CERTIFICATION

- ☐ Each item of information contained in this information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement.
- ☐ No item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned, having made reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this statement.

DEPOSIT ACCOUNT

- ☒ Please charge any additional fees for the papers being filed herewith and for which no check is enclosed herewith, or credit any overpayment to deposit account number 15-0030. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

OBLON, SPIVAK, McCLELLAND,  
MAIER & NEUSTADT, P.C.

Richard L. Chinn

Registration No. 34,305

Daniel J. Pereira, Ph.D.

Registration No. 45,518



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(OSMMN 10/98)

Form PTO 1449 (Modified)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY DOCKET NO. 203512US77		SERIAL NO. 10/023,889	
LIST OF REFERENCES CITED BY APPLICANT				APPLICANT William M. CANFIELD			
				FILING DATE December 21, 2001		GROUP	
U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	AA	6,118,045	09/12/045	REUSER ET AL			
	AB	5,939,279	08/17/99	SMITH			
	AC	5,932,211	08/03/99	WILSON ET AL			
	AD	5,929,036	07/27/99	McEVER			
	AE	5,928,928	07/27/99	AERTS			
	AF	5,919,913	07/06/99	NUYENS ET AL			
	AG	5,919,690	07/06/99	KNAP ET AL			
	AH	5,917,122	06/29,99	BYRNE			
	AI	5,916,911	06/29/99	SHAYMAN EET AL			
	AJ	5,916,870	06/29/99	LEE ET AL			
	AK	5,914,231	06/22/99	HENNINK ET AL			
	AL	5,912,146	06/15/99	NISHIMURA ET AL			
	AM	5,911,704	06/15/99	HUMES			
	AN	5,906,817	05/25/99	MOULLIER ET AL			
FOREIGN PATENT DOCUMENTS							
		DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION YES NO		
	AO						
	AP						
	AQ						
	AR						
	AS						
	AT						
	AU						
	AV						
OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, etc.)							
	AW	Alan D. Elbein et al, "KIFUNENSINE, A POTENT INHIBITOR OF THE GLYCOPROTEIN PROCESSING MANNOSIDASE I", The Journal of Biological Chemistry, Vol. 265, No. 26, Issue of September 15, pp. 15599-15605, 1990.					
	AX	SLY, "The Missing Link in Lysosomal Enzyme Targeting", The Journal of Clinical Investigation, Vol. 105, No. 5, Pages 563-564, March 2000					
	AY	Raas-Rothschild et al., "Molecular Basis of Variant Pseudo-Hurler Polydystrophy (Mucopolipidosis IIIC)", The Journal of Clinical Investigation, Vol, 105, No. 5, pp. 673-681, March 2000					
	AZ	Bao et al., "Bovine Udp-N-Acetylglucosamine: Lysosomal-Enzyme N-Acetylglucosamine-1- Phosphotransferase", The Journal of Biological Chemistry, Vol, 271, No. 49, pp. 31446-31451, December 6, 1996					
Examiner					Date Considered		
*Examiner: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.							

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<div style="border: 1px solid black; border-radius: 50%; padding: 10px; display: inline-block;"> OIP E JCI/38 FEB 21 2002 PATENT &amp; TRADEMARK OFFICE </div>				APPLICANT William M. CANFIELD			
LIST OF REFERENCES CITED BY APPLICANT				FILING DATE DECEMBER 21, 2001		GROUP	
<b>U.S. PATENT DOCUMENTS</b>							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	BA	5,895,833	04/20/99	BERG			
	BB	5,879,937	03/09/99	RONCAROLO			
	BC	5,874,297	02/23/99	WU ET AL			
	BD	5,871,946	02/16/99	LUCAS ET AL			
	BE	5,861,491	01/19/99	NUIJENS ET AL			
	BF	5,858,755	01/12/99	LOWE			
	BG	5,858,744	01/12/00	BAUM ET AL			
	BH	5,858,351	01/12/99	PODSAKOFF ET AL			
	BI	5,854,207	12/29/98	LEE ET AL			
	BJ	5,851,782	12/22/98	HANNUN ET AL			
	BK	5,849,885	12/15/98	NUYENS ET AL			
	BL	5,840,578	11/24/98	DESNICK			
	BM	5,830,916	11/03/98	HANNUM ET AL			
	BN	5,830,850	11/03/98	GELB ET AL			
<b>FOREIGN PATENT DOCUMENTS</b>							
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	BO						
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	BQ						
	BR						
	BS						
	BT						
	BU						
	BV						
<b>OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, etc.)</b>							
	BW	KORNFELD, "Purification and Multimeric Structure of Bovine N-Acetylglucosamine-1-Phosphodiester $\alpha$ -N-Acetylglucosaminidase", The Journal of Biological Chemistry, Vol. 273, No. 36, pp. 23203-23210, September 4, 1998					
	BX	Charlene GOTTLIEB et al, "Isolation of a Clone of Chinese Hamster Ovary Cells Deficient in Plant Lectin-Binding Sites" Proc. Nat. Acad. Sci. USA, Vol. 71, No. 4, pp. 1078-1082, April 1974					
	BY	Angy I. LIN et al, "Core fucosylation of high-mannose-type oligosaccharides in GlcNAc transferase I-deficient (LecI) CHO cells", Glycobiology, Vol. 4, No. 6, pp. 895-902, (1994)					
	BZ	Alan D. ELBEIN, "Glycosidase inhibitors: inhibitors of N-linked oligosaccharide processing", The FASEB Journal, Vol. 5, December 1991, pp. 30563063					
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EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	CA	5,830,711	11/03/98	BARANY ET AL			
	CB	5,807,943	09/15/98	LEE ET AL			
	CC	5,798,448	08/25/98	CARAS ET AL			
	CD	5,798,239	08/25/98	WILSON ET AL			
	CE	5,792,647	08/11/98	ROSEMAN ET AL			
	CF	5,773,236	06/30/98	DIWU ET AL			
	CG	5,759,775	06/02/98	CARAS ET AL			
	CH	5,750,172	05/12/98	MEADE ET AL			
	CI	5,741,957	04/21/98	DEBOER ET AL			
	CJ	5,736,360	04/07/98	GAULTON ET AL			
	CK	5,728,381	03/17/98	WILSON ET AL			
	CL	5,723,585	03/03/98	BAKER ET AL			
	CM	5,721,367	02/24/98	KAY ET AL			
	CN	5,719,031	02/17/98	HAUGLAND ET AL			
<b>FOREIGN PATENT DOCUMENTS</b>							
		DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION YES NO		
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	CS						
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	CU						
	CV						
<b>OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, etc.)</b>							
	CW	Alan D. ELBEIN et al, "Kifunensine, a Potent Inhibitor of the Glycoprotein Processing Mannosidase I*", The Journal of Biological Chemistry, Vol. 265, No. 26, September 15, pp. 15599-15605 (1990)					
	CX	Urike FUHRMANN et al, "Novel mannosidase inhibitor blocking conversion of high mannose to complex oligosaccharides", (1984) Macmillan Journals Ltd., Vol. 307, No. 23, February 1984					
	CY	Volker GROSS et al., "Secretion of high-mannose-type $\alpha_1$ -proteinase inhibitor and $\alpha_1$ -acid glycoprotein by primary cultures of rat hepatocytes in the presence of the mannosidase 1 inhibitor 1-deoxymannojirimycin", Received February 26/April 5, 1985) - EJB850187					
	CZ	Joyce BISCHOFF et al., "The use of 1-Deoxymannojirimycin to Evaluate the Role of Various $\alpha$ -Mannosidases in Oligosaccharide Processing in Intact Cells", The Journal of Biological Chemistry (1986), Vol 261, No. 10, Issue of April 5, pp. 4766-4774					
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	DA	5,716,614	02/10/98	KATZ ET AL			
	DB	5,707,865	01/13/98	KOHN ET AL			
	DC	5,704,910	06/06/98	HUMES			
	DD	5,696,001	12/09/97	HABENSTEIN			
	DE	5,693,622	12/02/97	WOLFF ET AL			
	DF	5,691,181	11/25/97	LOWE			
	DG	5,686,240	11/11/97	SCHUCHMAN ET AL			
	DH	5,679,545	10/21/97	BAKER ET AL			
	DI	5,665,366	09/09/97	RAWLINGS ET AL			
	DJ	5,663,254	09/02/97	LEE ET AL			
	DK	5,663,076	09/02/97	ROSTOKER ET AL			
	DL	5,658,567	08/19/97	CALHOUN ET AL			
	DM	5,648,335	07/15/97	LEWIS ET AL			
	DN	5,648,229	07/15/97	HABENSTEIN			
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OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, etc.)							
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	DY						
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FEB 21 2002 <i>(Circular stamp: OIPE JCS 8639 PATENT &amp; TRADEMARK OFFICE)</i>				FILING DATE December 21, 2001		GROUP	
<b>U.S. PATENT DOCUMENTS</b>							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	EA	5,639,939	06/17/97	McCUNE, III			
	EB	5,639,607	06/17/97	DESNICK ET AL			
	EC	5,633,261	05/27/97	DIME			
	ED	5,633,228	05/27/97	LEWIS ET AL			
	EE	5,627,171	05/06/97	PARK ET AL			
	EF	5,627,073	05/06/97	BAKER ET AL			
	EG	5,624,806	04/29/97	BAKER ET AL			
	EH	5,621,106	04/15/97	DIME			
	EI	5,612,206	03/18/97	VALERIO ET AL			
	EJ	5,585,247	12/17/96	HABENSTEIN			
	EK	5,583,160	12/10/96	IGARASHI ET AL			
	EL	5,578,479	11/26/96	LADERMAN ET AL			
	EM	5,576,424	11/19/96	MAO ET AL			
	EN	5,571,893	11/05/96	BAKER ET AL			
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<b>OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, etc.)</b>							
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PATENT AND TRADEMARK OFFICE

ATTY DOCKET NO.

203512US77

SERIAL NO.

10/023,889

LIST OF REFERENCES CITED BY APPLICANT

APPLICANT

William M. CANFIELD

FILING DATE

December 21, 2001

GROUP

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	FA	5,571,675	11/05/96	BAKER ET AL			
	FB	5,569,648	10/29/96	LEWIS ET AL			
	FC	5,565,362	10/15/96	ROSEN			
	FD	5,554,366	09/10/96	RAWLINGS ET AL			
	FE	5,545,402	08/13/96	WATKINSON			
	FF	5,534,615	07/09/96	BAKER ET AL			
	FG	5,512,471	04/30/96	SMITH			
	FH	5,501,957	03/26/96	DENNIS ET AL			
	FI	5,494,810	02/27/96	BARANY ET AL			
	FJ	5,491,075	02/13/96	DESNICK ET AL			
	FK	5,475,095	12/12/95	MYEROWITZ			
	FL	5,466,809	11/14/95	DIME			
	FM	5,449,604	09/12/95	SHELLENBERG ET AL			
	FN	5,443,986	08/22/95	HAUGHLAND ET AL			

## FOREIGN PATENT DOCUMENTS

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	FO					
	FP					
	FQ					
	FR					
	FS					
	FT					
	FU					
	FV					

## OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, etc.)

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Examiner

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LIST OF REFERENCES CITED BY APPLICANT <div style="text-align: center; border: 1px solid black; border-radius: 50%; padding: 10px; width: 150px; margin: 0 auto;">           RECEIVED            FEB 21 2002            PATENT &amp; TRADEMARK OFFICE         </div>				APPLICANT William M. CANFIELD			
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<b>U.S. PATENT DOCUMENTS</b>							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	GA	5,439,935	08/08/95	RAWLINGS ET AL			
	GB	5,433,946	07/18/95	ALLEN, JR. ET AL			
	GC	5,420,112	05/30/95	LEWIS ET AL			
	GD	5,405,751	04/11/95	RONCAROLO			
	GE	5,382,524	01/17/95	DESNICK ET AL			
	GF	5,366,883	11/22/94	ASADA ET AL			
	GG	5,362,628	11/08/94	HAUGLAND			
	GH	5,344,352	09/06/94	HORNE ET AL			
	GI	5,316,906	05/31/94	HAUGLAND ET AL			
	GJ	5,310,646	05/10/94	WHITLEY			
	GK	5,296,365	03/22/94	OVERBEEKE ET EA			
	GL	5,281,394	01/25/94	HOLUB			
	GM	5,260,447	11/09/93	NAKAJIMA ET AL			
	GN	5,242,805	09/07/93	NALEWAY ET AL			
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<b>OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, etc.)</b>							
	GW						
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U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	HA	5,217,865	01/08/93	MYEROWITZ			
	HB	5,208,148	05/04/93	HAUGLAND ET AL			
	HC	5,205,917	04/27/93	KLOCK, JR.			
	HD	5,179,023	01/12/93	CALHOUN ET AL			
	HE	5,166,320	11/24/92	WU ET AL			
	HF	5,143,841	09/01/92	HIRABAYSHI ET AL			
	HG	5,126,247	06/30/92	PALMER ET AL			
	HH	5,089,392	02/18/92	MILLER ET AL			
	HI	5,802,778	01/21/92	OVERBEEKE ET AL			
	HJ	5,077,200	12/31/91	HABENSTEIN			
	HK	5,075,231	12/24/91	MOREAU ET AL			
	HL	5,061,025	10/29/91	MATTES ET AL			
	HM	5,060,428	10/29/91	ARTHUR, JR. ET AL			
	HN	5,015,470	05/14/91	GIBSON			
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	IA	5,001,072	03/19/91	OLSON			
	IB	4,997,760	03/05/91	HIRABAYASHI ET AL			
	IC	4,987,223	01/22/91	CHOAY ET AL			
	ID	4,986,274	01/22/91	STEPHENS			
	IE	4,981,801	01/01/91	SUZUKI ET AL			
	IF	4,975,441	12/04/90	GIBSON			
	IG	4,866,042	09/12/89	NEUWELT			
	IH	4,851,390	07/25/89	MORISHIGE			
	II	4,798,169	01/17/89	ROSEN ET AL			
	IJ	4,749,570	06/07/88	POZNANSKY			
	IK	4,659,817	04/21/87	GALLOP ET AL			
	IL	4,639,420	01/27/87	SCHAFFNER			
	IM	4,615,884	10/07/86	HARSHMAN			
	IN	4,595,015	06/17/86	JANSEN ET AL			
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	JA	4,496,722	01/29/85	GALLOP ET AL			
	JB	4,492,761	01/08/85	DURACK			
	JC	4,474,770	10/02/84	LORMEAU ET AL			
	JD	4,452,794	06/05/84	KORT ET AL			
	JE	4,433,946	02/28/84	CHRISTIANSON ET AL			
	JF	4,431,737	02/14/84	OLIVIERI ET AL			
	JG	4,401,758	08/30/83	LORMEAU ET AL			
	JH	4,401,662	08/30/83	LORMEAU ET AL			
	JI	4,332,894	06/01/82	WHISTLER			
	JJ	4,328,215	05/04/82	BUEDING			
	JK	4,195,126	12/23/80	HALL			
	JL	4,156,013	03/22/79	BRUINVELS ET AL			
	JM	4,140,107	02/20/79	LANCEE ET AL			
	JN	3,972,777	08/03/76	YAMADA ET AL			
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OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, etc.)							
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Examiner					Date Considered		
*Examiner: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.							

Form PTO 1449 (Modified)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY DOCKET NO. 203512US77		SERIAL NO. 10/023,889	
LIST OF REFERENCES CITED BY APPLICANT				APPLICANT William M. CANFIELD			
				FILING DATE December 21, 2001		GROUP	
U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	AA	3,966,555	06/29/76	ARNAUD ET AL			
	AB	3,957,578	05/18/76	NARITA ET AL			
	AC	RE35,770	04/14/98	LORMEAU ET AL			
	AD	5,773,278	06/30/98	SCHUCHMAN ET AL			
	AE	5,798,366	08/25/98	PLATT ET AL			
	AF	5,635,383	06/03/97	WU ET AL			
	AG	5,968,502	10/19/99	TRECO ET AL			
	AH	5,055,401	10/08/91	LILJESTROEM ET AL			
	AI	5,202,253	04/13/93	ESMON ET AL			
	AJ	5,929,304	07/27/99	RADIN ET AL			
	AK	5,580,757	12/03/96	DESNICK ET AL			
	AL	5,356,804	10/18/94	DESNICK ET AL			
	AM	5,401,650	03/28/95	DESNICK ET AL			
	AN						
FOREIGN PATENT DOCUMENTS							
		DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION YES NO		
	AO						
	AP						
	AQ						
	AR						
	AS						
	AT						
	AU						
	AV						
OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, etc.)							
	AW						
	AX						
	AY						
	AZ						
Examiner					Date Considered		
<p>*Examiner: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.</p>							